

Channel Tunnel Safety Authority

Bi-national guidance on supervision and conformity assessment

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1 Introduction

The Channel Tunnel Intergovernmental Commission (IGC) was established by the Treaty of Canterbury to monitor all issues associated with the construction and operation of the Channel Tunnel Fixed Link on behalf of the UK and French governments and by delegation of these governments. The IGC is advised by the Channel Tunnel Safety Authority (CTSA) on matters relating to the safety of the Fixed Link. This authority is also a binational authority. The IGC is also the National Safety Authority (NSA) for the Channel Tunnel Fixed Link.

The goal, ensuring that the Channel Tunnel is safe, will be achieved by the relevant businesses effectively managing risk themselves using their own safety management systems and by the IGC fulfilling its role as NSA.

The CTSA is responsible for permanent oversight of supervision activity carried out on behalf of the IGC, in line with the [IGC's supervision strategy](#). The IGC is responsible for agreeing the supervision strategy and reviewing it periodically, with advice from the CTSA. The CTSA comprises representatives from both France and the UK, including inspectors responsible for carrying out supervision of businesses authorised for the Channel Tunnel.

Purpose of this document

The purpose of this document is to provide guidance to people working for the IGC and CTSA on arrangements for:

- the supervision of businesses authorised for the Channel Tunnel, focusing on their ability to manage risks using their safety management systems
- the periodic assessment of the safety management systems of those companies¹, focusing on making a judgment about their capability to control risks through their safety management system
- the authorisation of any new rolling stock that will transit through the Tunnel²
- the authorisation of any new infrastructure²

¹ “conformity assessment” leading to an authorisation for an infrastructure manager, such as Eurotunnel, or a certification for a railway undertaking, such as Eurostar.

² This will be covered by separate guidance on authorisations for rolling stock and infrastructure (to be drafted).

2 Confidentiality

Under the terms of the [Concession Agreement](#) (Clause 33.3) all documents supplied by or on behalf of Eurotunnel will be held in confidence. In practice this means treating documents as if they were classified as confidential and information will not be supplied to others without prior approval by the CTSA (at head of delegation level) which will ensure liaison with Eurotunnel and the IGC.

Any requests to disclose a Eurotunnel document should be referred to the CTSA secretariat for further advice.

Documents supplied by or on behalf of other businesses authorised for the Channel Tunnel must be held in accordance with the requirements of the relevant national legislation.

3 Background information

3.1 Treaty of Canterbury 1986 and Concession Agreement

By signing the [Treaty of Canterbury](#) on 12 February 1986, between the French Republic and the United Kingdom of Great Britain and Northern Ireland, the governments of the two states undertook to allow the construction and operation by private concession companies of a fixed Channel link financed without calling on government funds or guarantees.

The [Concession Agreement](#) was awarded to the Channel Tunnel Group Limited and France Manche SA, grouped together under the limited company, Eurotunnel. The signing of the concession agreement on 14 March 1986 completed the legal and financial framework of the Treaty of Canterbury. The concession agreement indicated the general characteristics of the Channel Fixed Link and the rules to be applied during construction and then operation. Initially planned to last 55 years, the duration of the Concession has been extended to 99 years (i.e. to 2086).

The tunnel was designed and built for its operator, Eurotunnel, by TransManche Link (TML). TML was a consortium of 5 British and 5 French undertakings. TML officially handed over the works to Eurotunnel in December 1993. Commercial operations commenced in May 1994 with the introduction of freight shuttle services carrying lorries and the operation of goods trains by the former national railway undertakings. Other services were progressively introduced; Eurostar passenger services in October 1994 and tourist shuttles between December 1994 and June 1995.

The term “the Fixed Link” is used to describe the French and British terminals and the tunnel (comprising two running tunnels and a service tunnel). Legally the tunnels comprise a British section and a French section with an international frontier, as indicated in all three tunnels.

3.2 Responsibilities of the Intergovernmental Commission

Article 10 of the Treaty of Canterbury establishes the Intergovernmental Commission (IGC) to “...supervise, in the name and on behalf of the two Governments, all matters concerning the construction and operation of the Fixed Link.” Article 10(8) provides that:

...the Governments shall take all necessary measures to ensure that regulations are applicable to the Fixed Link have the necessary force and effect within their national laws and shall grant to the Intergovernmental Commission such powers of investigation, inspection and direction as are necessary for the performance of its functions.

Under Clause 13.2 of the Concession Agreement, Eurotunnel is required to submit to the IGC for approval any operating rules for the Fixed Link which they propose to introduce. The IGC is advised by the Channel Tunnel Safety Authority (CTSA) on the safety aspects of these submissions and must consider and (where it is content to do so) approve the advice and proposals made by CTSA.

Full details about the responsibilities of the IGC can be found on its [website](#).

3.3 The Intergovernmental Commission and the European Union

The policy of the IGC is that it will operate as a bi-national organisation within the framework of laws of the European Union.

The IGC is the NSA for the Fixed Link, as defined in Directives of the European Union.

As the NSA for the Fixed Link, and on the advice of the CTSA, the IGC has drawn up a [supervision strategy](#) with CTSA advice.

Bi-national guidance on supervision

4 Channel Tunnel Safety Authority

Article 11 of the [Treaty of Canterbury](#) establishes the Channel Tunnel Safety Authority (CTSA) to advise and assist the Intergovernmental Commission (IGC) on all matters concerning safety in the construction and operation of the Fixed Link. The CTSA's responsibilities are defined in Article 11 of the Treaty and include:

- ensuring that the safety measures and practices applicable to the Fixed Link comply with the national or international laws, enforcing such laws, monitoring their implementation and reporting thereon to the IGC
- examining reports concerning any incident affecting safety within the Fixed Link, making such investigations as are necessary and reporting thereon to the IGC

Under Article 11 (8) of the Treaty, *“The Two Governments shall grant to the Safety Authority and its members and agents such powers of investigation, inspection and direction as are necessary for the performance of its functions.”*

The CTSA advises the IGC to adopt a supervision strategy as proposed by the CTSA.

The CTSA fulfils its remit through competent people working on its behalf, who are provided by the UK and France, and who are organised to attend periodic meetings of the CTSA and two specialist working groups.

4.1 Working groups

The CTSA has established two permanent specialist working groups, led jointly by a member of each delegation. The role of each working group is to investigate matters brought before the CTSA and to provide detailed technical analysis on which the CTSA's advice can be based. These working groups are:

- Working group 1 (WG1; rescue & public safety)
- Working group 2 (WG2; rail safety & transport and civil engineering)

The CTSA heads of delegation or the co-chairs of each working group will oversee and guide the work of the warranted IGC inspectors from their respective countries. They will monitor delivery of the supervision plan, alerting the CTSA and IGC to any major changes in resource or activity that may be necessary over time, perhaps as a result of investigations that need to be done. They will make sure that decisions are taken in a timely manner and reports of supervision agreed jointly without undue delay. They will ensure that IGC has an effective overall view of the safety performance of businesses authorised for the Channel Tunnel.

The co-chairs of the working groups take a decision on when the groups need to meet depending on the volume of work, although meetings are usually held at the same frequency as the CTSA. The working groups are asked to provide a summary of their activities at CTSA meetings.

CTSA inspectors should attend meetings of the relevant working groups in order to provide information and updates. In the event that inspectors are unable to attend the working group, the CTSA secretariats are able to provide copies of the relevant minutes and meeting papers.

In order to examine specific topics in greater detail, the CTSA heads of delegation or the co-chairs are empowered to establish ad hoc groups. The ad hoc groups will report on their findings and any recommendations.

4.2 Inspectors

Within their respective areas of expertise, it is the responsibility of inspectors to check that business authorised for the Channel Tunnel are fulfilling their responsibilities to ensure that the Channel Tunnel is safe.

CTSA inspectors will achieve this by:

1. Monitoring operations, infrastructure, maintenance and new works by Eurotunnel and contractors, including the management of health and safety risks to members of the public and staff.
2. Verifying that businesses authorised for the Channel Tunnel are operating in accordance with the management systems laid down in their safety certificate and authorisation, as well as the requirements of relevant European, bi-national and national legislation.
3. Serious accidents and incidents will be investigated jointly by the Rail Accident Investigation Branch (RAIB) and Bureau d'Enquêtes sur les Accidents de Transport Terrestre (BEA-TT), pursuant to relevant European and national legislation and chapter 6 of the Regulation of the Intergovernmental Commission on the safety of the Channel Fixed Link. However there may be some instances where CTSA inspectors may be required to investigate accidents or incidents, either in accordance with the requirements of national legislation or by request of the IGC or CTSA.

4.2.1 Appointment of inspectors

The IGC and CTSA are empowered by legislation to appoint inspectors to assist them in carrying out their functions. Inspectors are typically drawn from the authorities of each Government, including:

- National Safety Authorities for railway and occupational safety
- Fire and Rescue Services
- forces of law and order
- transport ministries.

In addition, the IGC and CTSA have the authority to appoint any experts of their choice as well as invoke the assistance of the authorities of either government as necessary when carrying out inspections or investigations.

The CTSA relies on the organisations providing inspectors to the CTSA to ensure that the individuals are competent in their respective fields. The CTSA ensures the development and maintenance of

Channel Tunnel specific competences through structured induction and on-going training which includes information sharing events.

The CTSA secretariat is responsible for informing businesses authorised for the Channel Tunnel of the appointment of inspectors and providing details of inspectors' parent authorities and responsibilities.

4.2.2 Role of inspectors

The role of CTSA inspectors is to carry out supervision of businesses authorised for the Channel Tunnel in accordance with the principles laid down in the [IGC's supervision strategy](#). The work of CTSA inspectors will ensure that the IGC retains sufficient oversight of the effectiveness of the safety management systems employed by businesses authorised for the Channel Tunnel.

Supervision activity carried out by CTSA inspectors has three main aims:

- Checking that businesses authorised for the Channel Tunnel have sufficient understanding of the risks, and safety management capability to control those risks. This will be achieved by assessing written submissions for a safety authorisation from the Infrastructure Manager for the Tunnel; and for safety certificates from any railway undertaking operating in the Tunnel; and any submissions for significant changes and regular reviews.
- Checking that businesses authorised for the Channel Tunnel are applying the provisions described in their safety management systems, and that they have proper day-to-day management control of risks. The tool used to assess this aspect is RM3 (the [Rail Management Maturity Model](#)).
- Checking that Channel Tunnel infrastructure is maintained in good condition.

4.2.3 Inspectors' enforcement powers

Individual inspectors may possess specific enforcement powers that they have been granted by their parent authorities. Any enforcement powers will only apply in the inspector's respective national territories. In the event that an inspector exercises, or wishes to exercise, enforcement powers under national law they should liaise with the CTSA secretariat so that the other national delegation can be informed, in line with the principle of acting jointly.

5 Inspections

Inspections provide the CTSA and IGC with essential information about what is happening on the Fixed Link and how well businesses authorised for the Channel Tunnel are managing the safety risks that arise from their operations. The evidence obtained through inspections allows assessment of the performance of safety management systems of businesses authorised for the Channel Tunnel .

The CTSA produces an annual supervision plan in accordance with the principles established in the IGC's Channel Tunnel Supervision Strategy. The supervision plan, known as the [CTSA work plan](#), details all planned inspections and interventions by the working groups over the course of the operational year. The CTSA work plan is shared with businesses authorised for the Channel Tunnel and is published on the IGC website.

Inspections may be pre-arranged or carried out on a short notice or unannounced basis. Whilst it is preferable for inspections to be carried out by at least one inspector from each delegation, so as to facilitate bi-national working, there may be occasions where inspections will be carried out by inspectors from one delegation only.³ In these cases, the other delegation shall be promptly informed either via the secretariat or directly to the relevant inspector of the other delegation of the purpose of the inspection, its methodology, and the outcome.

Inspections may be carried out for the following reasons:

- inspections planned as part of the CTSA's annual work plan
- reactive inspections following accidents or incidents
- following complaints or information from members of the public and others
- follow-up inspections to assess the effectiveness of corrective actions taken by businesses authorised for the Channel Tunnel in response to issues identified in previous inspections
- inspections following changes affecting safety management systems.

³ For example, British WG2 inspectors may make visits to the UK terminal in order to assess compliance with occupational health and safety legislation.

6 Information for businesses authorised for the Channel Tunnel

The IGC uses the supervision activities carried out by CTSA inspectors as a means of fulfilling its duty to ensure that the Channel Tunnel is safe. However, CTSA supervision may also provide considerable benefits for businesses authorised for the Channel Tunnel. Inspections can provide additional scrutiny of an organisation's management systems, over and above any internal arrangements that are required by bi-national and domestic legislation. During inspection visits, inspectors may identify potential legislative breaches or areas of the safety management system that are not functioning as effectively as they should.

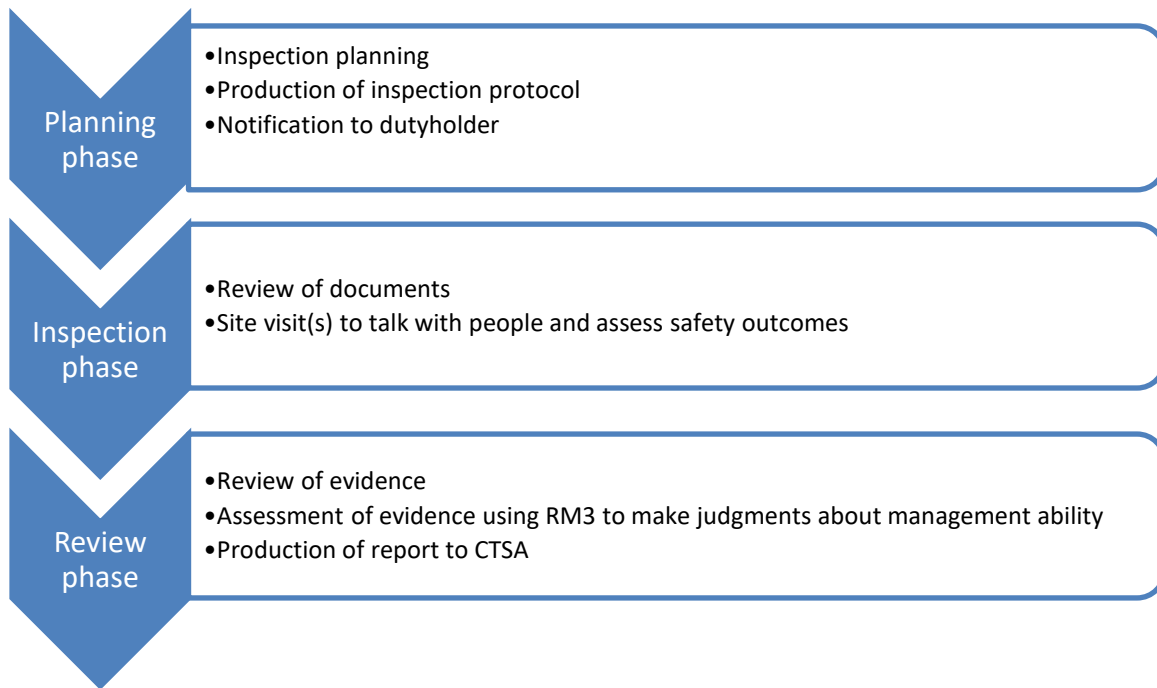
Businesses authorised for the Channel Tunnel are therefore respectfully requested to facilitate CTSA supervision activities by:

- facilitating entry and access to operational premises - CTSA inspectors have a general power of entry throughout the Fixed Link; depending on specific national legislation, inspectors may also possess a legal right of entry in work-related premises at any time
- promptly providing documents and other information - the prompt provision of information by businesses authorised for the Channel Tunnel is essential for the efficient and effective supervision by the CTSA; a lengthy delay in providing information may suggest to inspectors that certain areas of an organisation's safety management system are not functioning effectively
- responding to CTSA recommendations within the timescales agreed with the inspectors

6.1 Inspection process

CTSA inspections have three defined phases, as illustrated below, which involve contact with a Channel Tunnel business, or dutyholder.

Figure 1: CTSA inspection process



6.1.1 Planning phase

It is important that all inspections are adequately planned. A suitably planned inspection will ensure that resources can be effectively targeted to assess the relevant elements of a dutyholder's safety management system.

For each inspection a lead inspector should be appointed. The lead inspector is responsible for planning and co-ordinating the inspection as well as producing the inspection report. With regards to inspection planning, the lead inspector should produce an inspection protocol. The protocol document should include, but not necessarily be limited to:

- the aims and objectives of the inspection
- key topics and areas to be explored during the inspection, for example, elements of RM3
- safety considerations, including personal protective equipment requirements
- details of any documents or processes required from the dutyholder
- details of the dutyholder's appointed representative and key members of the dutyholder's staff required for the inspection
- details of any additional CTSA resources required (for example, technical specialists or interpreters)
- applicable reference material.

It may be necessary to update the inspection protocol document during the course of an inspection.

The lead inspector should discuss the inspection protocol with the working group co-chairs, then work with the CTSA secretariat to co-ordinate practical arrangements for the inspection and to notify the relevant Channel Tunnel business. This may include sending a version of the inspection protocol to the dutyholder in advance of the inspection visit.

6.1.2 Inspection phase

Inspections entail visits to the premises of businesses authorised for the Channel Tunnel and involve inspectors carrying out supervision by using an appropriate mixture of:

- interviews with people in businesses authorised for the Channel Tunnel
- observing working practices and operational procedures
- reviewing documents and records relevant to the area of risk they are overseeing
- examining the outcomes from management systems

An inspection may therefore involve inspectors carrying out all or a selection of the above. An inspection may involve more than one visit to the premises of a business authorised for the Channel Tunnel and the scope of the inspection may change during the visit, subject to the information obtained by inspectors.

6.1.2.1 Practical considerations

The lead inspector is responsible for organising the inspection, with support from the inspection team.

Prior to any site visit, the inspection team should review any documents provided by the business authorised for the Channel Tunnel. It may be necessary at this point to request that they provide further information in advance of, or during any visit.

Where possible the inspection team should meet to clarify the aims and objectives of the inspection and determine any specific actions that need to be carried out as well as allocating defined responsibilities to each member of the inspection team. Depending on the duration of the inspection or the complexity of the subject matter, it may be necessary to hold a review meeting with the inspection team during the course of the inspection in order to take stock of the information gathered.

Inspectors should discuss the progress of the inspection with the dutyholder's representatives throughout the visit. This may include highlighting any recommendations, providing general health and safety advice or raising matters of evident concern (see 6.1.2.3).

6.1.2.2 Inspector safety

CTSA inspectors receive specific safety training to allow them to access areas of the Fixed Link infrastructure safely. Inspectors are also issued with a pass by Eurotunnel that permits access to Eurotunnel's premises and infrastructure. For infrequent visitors, such as specialists, Eurotunnel can provide visitors permits as necessary.

Personal Protective Equipment (PPE) is supplied to inspectors by their parent authorities. In the event that specialist items of PPE are required for an inspection then this should be provided by the relevant businesses authorised for the Channel Tunnel.

The businesses authorised for the Channel Tunnel have a duty to ensure the safety of any CTSA inspectors who visit their premises. The dutyholder should inform the inspectors at the time of the visit of any particular hazards that are present and identify the relevant risks and control measures. This should include an indication of any new provisions or any degraded situations that have occurred since the last CTSA visit. Inspectors should act in accordance with their parent authority's health and safety policy and observe the dutyholder's safety requirements, unless these are found to be lacking.

6.1.2.2.1 Specific requirements for inspections in the Channel Tunnel

If an inspection involves observing work being carried out inside the Channel Tunnel, inspectors will be required to wear a personal Carbon Dioxide (CO₂) monitor, along with all members of Eurotunnel staff and contractors present. Eurotunnel will provide the CO₂ monitors on the day of the inspection from their store of calibrated instruments.

6.1.2.3 *Matters of evident concern*

If during the course of a visit to the premises of a Channel Tunnel business, UK inspectors identify matters that give rise to a serious concern to the health, safety or welfare to employees or others they should immediately bring this attention of the dutyholder's representatives. In such cases it may be necessary for inspectors to invoke any enforcement powers granted by their parent authorities.

Should matters of evident concern relate to issues outside of the inspectors' area of responsibility, for example, if WG2 inspectors were to identify serious concerns relating to the management of fire safety, then inspectors should liaise with the secretariat to ensure that relevant CTSA personnel are informed as well as bringing the matter to the attention of the dutyholder's representative.

6.1.2.4 *Information for employees*

When carrying out supervision activities, inspectors may check that those responsible have appropriate arrangements in place for consulting and informing employees and their representatives about health and safety matters, as required by national laws.

Inspectors should speak or meet with employees during the course of a visit, unless this is clearly inappropriate because of the purpose of the visit. Employees should be given the opportunity to speak privately to the inspector, if they so wish.

Due to the requirements of UK health and safety legislation, UK delegation inspectors are required to provide employees or their representatives with certain information where it is necessary for keeping them informed about matters affecting their health, safety and welfare. Depending on the circumstances this can be provided at the time of the inspection or promptly afterwards.

6.1.3 Review phase

Once any visits have been carried out and the inspection process concluded, the inspection team should review the evidence gathered and produce a report of their findings. The review phase is important as it allows inspectors to both assess the performance of the safety management systems of businesses authorised for the Channel Tunnel and bring about improvements in the safety of the Fixed Link by producing suitable recommendations where appropriate.

6.1.3.1 Inspection reports

The inspection team should produce a report on inspection activities carried out and significant findings at the earliest possible opportunity. Reports should be a concise factual account of the inspection and include clear recommendations for the dutyholder, where necessary. The report should also contain an analysis of the capability of the dutyholder's safety management arrangements, using the risk management maturity model.

The lead inspector is responsible for writing the report. However, it is essential that inspection team provide their input into the report's content and any recommendations. During the production of the report it may be necessary to contact the dutyholder to seek further clarification on areas covered during the inspection. To ensure consistency, all inspection reports should be produced using the dedicated CTSA inspection report template (see annex A).

Once completed the report should be submitted to the secretariat, who will arrange for translation and distribute the reports for discussion and approval by the relevant working group co-chairs or by the co-chairs of the CTSA if the inspector carrying out the inspection is not a member of a working group. Once approved, the secretariat will also arrange for a copy of the report, along with any recommendations, to be forwarded to the dutyholder's senior management team.

6.1.3.2 Management system capability analysis

The capability of rail safety and health & safety management is essential to the control of risks in the tunnel. The IGC uses the [Rail Management Maturity Model](#) (RM3) to assist its staff to analyse evidence about the capability of such systems, so that they can discuss areas of improvement with businesses authorised for the Channel Tunnel. RM3 sets out 26 elements of management and describes what each of them looks like at five levels from 'ad-hoc' (the lowest level) through to 'excellent' (the highest level). Inspectors and the businesses themselves can then compare evidence about the actual systems to the descriptions in RM3 and determine the level of attainment. They can also target the next level and improve if necessary.

Inspectors carry out an RM3 analysis after each inspection using the evidence gathered. At the end of each work year, the working groups carry out an RM3 review for each Channel Tunnel business using the intelligence gathered from inspections, investigations and any incidents of note. Representatives from each working group arrange a meeting with representatives of each Channel Tunnel business at the end of each work year in order to provide them with RM3-based feedback to senior managers.

6.1.3.3 Recommendations

During the course of CTSA inspections, inspectors may identify areas where rail safety and health & safety matters are not being managed by the dutyholder as effectively as they could be. Inspectors are therefore able to make recommendations to businesses authorised for the Channel Tunnel based on the evidence gathered during supervision activities. Unless there is an indication of serious and imminent danger, these recommendations identify areas to be improved without stipulating any appropriate solutions. It is the responsibility of the inspected business to establish the best way to comply with the recommendation and the associated timescale as part of implementing its safety management system and responsibilities with regard to managing risks associated with its business. Recommendations may, for example, require a dutyholder to improve existing or implement new processes, revise risk assessments or provide additional information to the CTSA. Notwithstanding any enforcement powers that individual inspectors may possess from their parent authorities, recommendations are an important regulatory tool of the CTSA that ensure that the Channel Tunnel remains safe.

The process for drafting, issuing and confirming compliance with CTSA recommendations, which involves input from inspectors, working group co-chairs, the CTSA secretariat as well as businesses authorised for the Channel Tunnel is shown in figure 2 on page 18.

The lead inspector for each CTSA inspection, together with input from the other members of the inspection team (and the working group co-chairs, where appropriate) is responsible for producing recommendations and ensuring that they are addressed by businesses authorised for the Channel Tunnel within the agreed timescales. When drafting recommendations, inspectors should ensure so far as possible that the recommendations are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).

Recommendations issued by inspectors can take one of two forms:

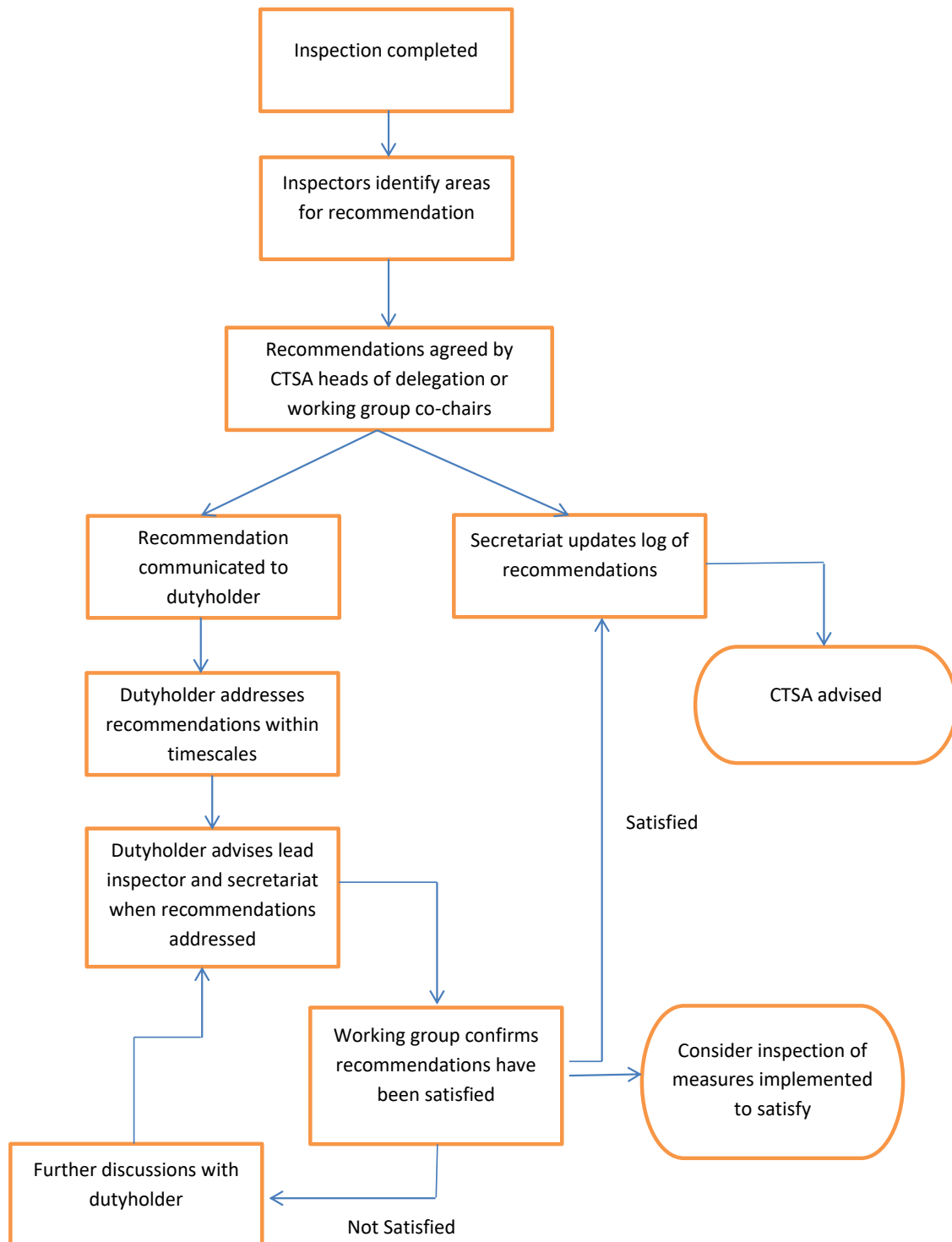
1. Action required - this type of recommendation requires the dutyholder to take action to address serious safety management deficiencies identified during the course of an inspection.
2. Action recommended - inspectors may issue this type of recommendation where they identify aspects of a dutyholder's rail safety and health & safety management arrangements that could be improved.

Inspectors may also make invitations to dutyholders. Invitations are issued when inspectors identify aspects of a dutyholder's safety management arrangements that could be improved but these are not directly linked to the inspection topic. Should inspectors identify matters that give rise to serious risks to rail safety or health & safety they may take enforcement action under bi-national or national legislation, where appropriate.

Once a dutyholder considers that they have addressed a recommendation they should inform the lead inspector. The lead inspector will review the evidence provided and may arrange a further follow-up inspection. The working groups, under the leadership of the working group co-chairs are responsible for determining whether or not a dutyholder has satisfied the recommendations.

The CTSA secretariat is responsible for maintaining a log of recommendations. The log will be updated based on the information provided to the secretariat by inspectors/working groups, and reviewed regularly at working group meetings.

Figure 2: CTSA recommendations process (Summary of paragraphs 6.1.3.1. to 6.1.3.3)



6.2 Annex 1: Inspection report template

CHANNEL TUNNEL SAFETY AUTHORITY INSPECTION REPORT
Subject:
[placeholder for summary of text]
RM³ Criteria relevant to evidence contained in this report: <ul style="list-style-type: none">•

Report by:
Assisted by:
Date of Inspection:
Date of Report:
Signature:

PART A: HEALTH AND SAFETY MANAGEMENT CAPABILITY ANALYSIS USING RM³

RM ³ Criterion	Criterion Level					Summary of Evidence
	Likelihood of confidence					
	High ←----- Low					
	5: Excellence	4: Predictable	3: Standardised	2: Managed	1: Ad hoc	

PART B: SUMMARY OF INSPECTION DETAILS

[Report Text]

Bi-national guidance on conformity assessment

7 Applications for safety certificates and safety authorisations

An operator submitting an application for a safety authorisation or safety certificate to the IGC for approval to operate on the Fixed Link will contact the French or UK secretariats in the first instance. The two secretariats will liaise with each other and the co-chairs of the working groups of the Channel Tunnel Safety Authority (CTSA).

The secretariat will then advise the names of the UK and French assessors who will be responsible for processing the application to the applicant and will pass the application to those named individuals.

An initial screen of the submitted documentation should be carried out to make sure it is possible to carry out a full and proper assessment based on the material supplied. The UK will maintain records of the assessment process and progress the application according to the processes adopted by the UK's National Safety Authority (NSA). In France, the assessment will be carried out in accordance with the policy of the French NSA on recording safety certification and authorisation activities.

UK and French assessors should agree between them, based on either the country of origin of the applicant or the nature of the proposed service, who will be the lead assessor. The lead assessor should then assess the application according to the guidance published by their NSA.

Annex 4 of the IGC's published guidance on the [bi-national regulation](#) sets out the precise timescale for receipt, consideration and determination of applications for safety certification or authorisation.

The objective of the bi-national assessment process is for the UK and French inspectors, in liaison with the secretariat, to collaborate in order to:

- respect the process and timetable set down in regulation and in IGC's guidance
- reach a prompt shared understanding on the completeness of the application
- achieve a common view on the merits of the application, including where applicable the development of a joint log of issues for further examination with the applicant
- arrive at a joint recommendation on the application to CTSA, in a timescale which permits IGC to take its final decision within the legal deadline
- alert CTSA, and if necessary IGC, at the earliest opportunity if there are significant concerns about the substance of the application, risks that the timetable will not be met or areas of disagreement between the assessors that cannot be resolved at their level
- ensure co-ordinated bi-national communication with the applicant at all stages
- agree on issues to be taken forward during supervision of the applicant's safety management system, where appropriate in co-operation with other national safety authorities

The assessment criteria are set down in European Commission regulations 1158/2010/EU (for railway undertakings) and 1169/2010/EU (for the infrastructure manager) as amended. These criteria are reproduced for ease of reference in annex 3 of the IGC's published guidance, and are the only criteria against which applications may be assessed.

The processing of applications for renewal of safety certificates and safety authorisations is a process similar to the processing of a first application. It is up to the company holding an authorisation or certificate to file its application for renewal with the IGC within the time allowed for the IGC to have its evaluation carried out before the end of validity of the authorisation or certificate.

The secretariats maintain an up-to-date table of the validity dates of authorisations and certificates issued by the IGC and, if necessary, notify the CTSA of any delay in receiving an application for renewal. This table is used at least once a year by the working groups to prepare the annual work program for the following year.

Bi-national guidance on authorisation for placing into service is also included in Annex 4 of the IGC's published guidance on the [bi-national regulation](#).

7.1 ERADIS

Once the IGC has awarded a safety certificate or safety authorisation, the secretariat of the chairing IGC delegation will arrange with the [European Union Agency for Railways](#) to add the details of the certificate or authorisation to the ERADIS database.